



Version 3.1.0 New Features

December 2019

TriLine GRC V3.1.0 — New Features

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Note: Some terminology may vary depending on your Configuration settings.

Interface

Mobile devices

We have developed a new interface for mobile devices. By default, you will be taken to the 'mobile' page where you can create Register and Event records. You can optionally go to the main site.

The image displays four mobile device screenshots of the TriLine GRC V3.1.0 interface. The first screenshot shows the login page with fields for User ID and Password. The second screenshot shows the 'CREATE ...' page with a dropdown menu and a 'Main Website' link. The third screenshot shows the 'CREATE ...' page with a list of options including 'Gifts and Hospitality Register'. The fourth screenshot shows the 'Gifts and Hospitality Register' form with fields for Title, Your Name, Who do you report to?, Value of Gift, Date Gift Offered, Type of Gift, and Your Department.

TriLine GRC

Login

User ID:

Password:

CREATE ...

Select

[Main Website](#)

TriLine GRC

CREATE ...

Select

Type

☒ Audit Findings

☐ Customer Complaint

☒ Gifts and Hospitality Register

☐ Incident Register - General

☐ Incident Reporting Form

☐ Work Health and Safety Issue

Gifts and Hospitality Register

DETAILS

Title:

Corporate box at AFL grand final

Your Name:

Jacinta Brown

Who do you report to?:

Chief Financial Officer

Value of Gift:

\$300

Date Gift Offered:

9/24/2019

Type of Gift: ☐ Cash ☐ Goods ☒ Hospitality

Your Department:

TriLine GRC V3.1.0 — New Features

Page Logo

Clicking the page logo (top left corner of the screen) will return you to the My Summary page.

My Summary Roles & Responsibilities

The information displayed on the Roles & Responsibilities tab will now use all available screen space.

My Summary Ian Broadstone, GM - Finance & Administration

CURRENT TASKS **ROLES & RESPONSIBILITIES** TEMPORARY ALLOCATION MY REPORTS / CHARTS

Responsible For

Responsible For	Count
Compliance Process	26
Process Control	48
Risk	9
Risk Treatments	5
KRI	5
Events Types	11
Events	68
Contracts	9
Contract Task	3
Obligations	474
Register Types	7
Registers	27
CI	6
Documents	9
SMCR	3
Repeating Tasks	
Process Control	42
Risk Review	10
Risk Treatments	8
KRI	7
Contracts	8
CI	5
Document Review	2
Registers Tasks	18
Finalisation	

Process Controls

Page 1 of 5 (44 items) < 1 2 3 4 5 > Page size: 10

Enter text to search all visible columns ...

Number	Process	Control	Scheduled
20800A	Authorised Deposit-taking Institutions : Authorisation under APRA : Outsourcing	(a) Outsourcing involving shared computer services Has an authorised deposit-taking institution (ADI) or an authorised non-operating holding company (NOHC) that wishes to undertake outsourcing involving shared computer services ensured that it manages the risks associated with such outsourcing arrangements effectively?	
20800A	Authorised Deposit-taking Institutions : Authorisation under APRA : Outsourcing	(b) Developing an outsourcing policy and assessing outsourcing options Has the authorised deposit-taking institution (ADI) or the authorised non-operating holding company (NOHC) developed an outsourcing policy if it wishes to outsource a material business activity and demonstrated to the Australian Prudential Regulation Authority (APRA) that it has adequately assessed all options that are available for	

Monitor Logs and Web Monitor

The Monitor Logs and Web Monitor pages will now use all available screen space.

Monitor Logs

21/11/2019
13/11/2019
6/11/2019
16/10/2019
New Tasks 2:23 PM
10/09/2019
5/09/2019
28/08/2019
13/08/2019

Ima Beancounter

Reference	Description	Due	Position
Compliance Task	Compliance	Test for temporary task reallocation	27/09/2019 Other Role
Compliance Task	TST0002 ss	(a) Something	12/09/2019 Other Role
Compliance Task	TST0002 ss	(a) Something	11/10/2019 Other Role
Risk Treatments	Risk	Test for Temporary Reallocation when a Blind Task	27/09/2019 Other Role
Risk Treatments	Risk	Test for Temporary Reallocation when a Blind Task	25/10/2019 Other Role

Arthur Boyd

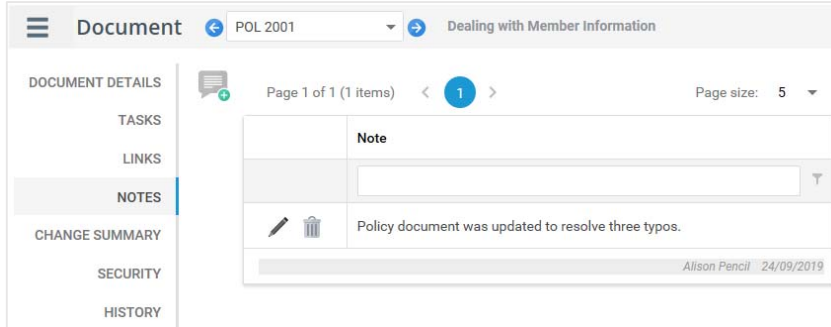
Reference	Description	Due	Position
CI	RGT665 New test	Do some different stuff	8/10/2019 Company Secretary
CI	TST887 Test for Business Unit	Test for second reminder	27/09/2019 Company Secretary
CI	TST887 Test for Business Unit	Test for second reminder	25/10/2019 Company Secretary
Compliance Task	CRM0005 Annual Company Returns	(b) Compliance reviews annually that accounts have been lodged.	12/07/2019 Company Secretary
Compliance Task	CRM0005 Annual Company Returns	(b) Compliance reviews annually that accounts have been lodged.	12/08/2019 Company Secretary
Compliance Task	CRM0005 Annual Company Returns	(b) Compliance reviews annually that accounts have been lodged.	12/09/2019 Company Secretary
Compliance Task	CRM0005 Annual Company Returns	(b) Compliance reviews annually that accounts have been lodged.	11/10/2019 Company Secretary
Compliance Task	CRM0020 Change of Directors	(b) Compliance reviews annually that accounts have been lodged	30/09/2019 Company Secretary
Compliance Task	CRM0075 Advertising	(a) All public communications reviewed and signed off following completion of a standard checklist. The settled document and checklist are held on file.	12/09/2019 Company Secretary

TriLine GRC V3.1.0 — New Features

Document Library

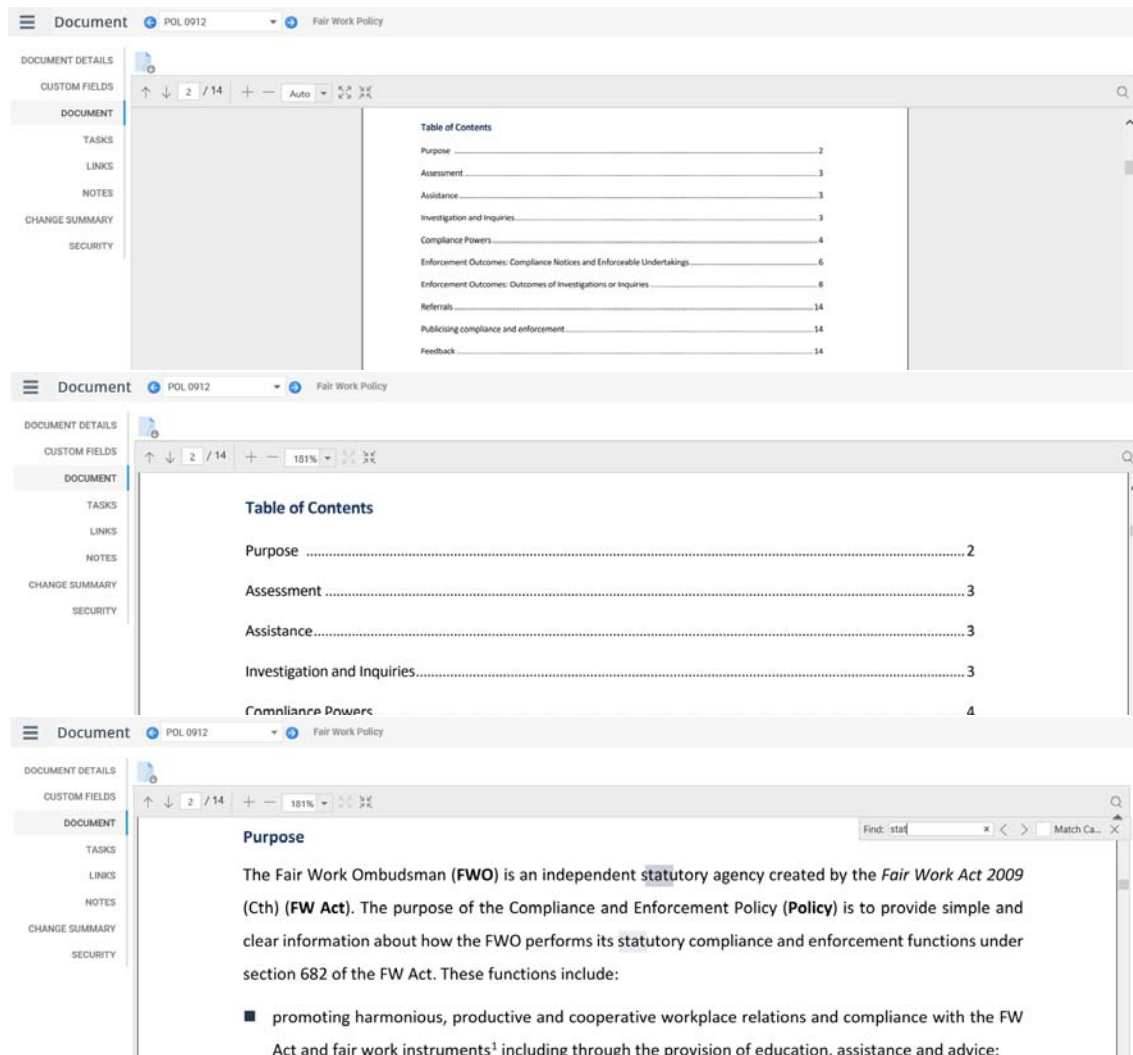
Notes

You can now add notes to a Document Library record.



PDF Viewer

The PDF Viewer has been upgraded to provide better on-screen resolution and adds search and document size controls.



TriLine GRC V3.1.0 — New Features

Contracts

Load Contract records via spreadsheet

You can now create a template spreadsheet to import Contract records. The first tab contains the required fields while the second has information to assist in completion (e.g. the available Contract Types).

Load Contract Data

CREATE A SPREADSHEET TEMPLATE FOR CONTRACTS

FILE

Save As

	A	B	C	
1	Contract Number	Title	Description	Contract Type
2				
3				
4				
5				
6				
7				

CONTRACTS INFORMATION +

Click Browse to locate the Contract import file

Browse...

Load Contract Data

CREATE A SPREADSHEET TEMPLATE FOR CONTRACTS

FILE

Save As

	A	B	C	D	E	F
1	Status Values:	Current	Contract Owner:	Not Allocated	Business Unit:	Board
2		Terminated		Branch Manager - Central		Executive
3		To Be Deleted		Branch Manager - North		Finance
4				Branch Manager - South		Human Resources
5				Chief Executive Officer		Information Technology
6	Contract Type:	Lease (Office Machinery)		Chief Financial Officer		Marketing
7		Lease (Plant and Machinery)		Chief Operating Officer		Operations

CONTRACTS INFORMATION +

Click Browse to locate the Contract import file

Browse...

TriLine GRC V3.1.0 — New Features

Load Contract With via spreadsheet

You can now create a spreadsheet to import Contract With records. The first tab contains the required fields while the second has information to assist in completion (e.g. the available Contract With Types).

≡

Load Contract With Data

CREATE A SPREADSHEET TEMPLATE FOR CONTRACT WITH

FILE

Save As

	A	B	C	D
1	Type	Trading or Short Name	Legal Name	Street Address
2				
3				
4				
5				
6				
7				

CONTRACT WITH INFORMATION +

Click Browse to locate the Contract with import file

Browse...

≡

Load Contract With Data

CREATE A SPREADSHEET TEMPLATE FOR CONTRACT WITH

FILE

Save As

	A	B	C	D	E	F	G	H	I	J
1	Type:	Administration		Notes:						
2		Auditors		Entity Verified:	True or False					
3		Bank								
4		Customer								
5		Government								
6		Investment Managers								
7		Legal								

CONTRACT WITH INFORMATION +

Click Browse to locate the Contract with import file

Browse...

TriLine GRC V3.1.0 — New Features

Events

Linking Events

It is now possible to link one Event to another (e.g. to link related or similar Event records).

The screenshot shows the 'Edit Events' interface. At the top, there's a header with a menu icon, 'Edit Events', a dropdown menu showing 'CC000006', and a link icon next to the text 'Customer got someone elses statement'. Below this is a navigation bar with tabs: COMPLIANCE, RISK, KRI, EVENTS (selected), REGISTERS, CONTRACT, CONTRACT WITH, CONTROL INVENTORY, DOCUMENTS, OBLIGATIONS (with a red dot), and TRIAGE PRO. On the left, there's a sidebar with options: DETAILS, CUSTOM FIELDS, FORM FIELDS, OTHER INFORMATION, NOTES, LINKS (selected), TASKS, ATTACHMENTS, SECURITY, and HISTORY. The main area shows a table with columns 'Number', 'Title', and 'Status'. The table has one row with the value 'CC000004' in the 'Number' column, 'Customer had doco sent to wrong client' in the 'Title' column, and 'Being Managed' in the 'Status' column. Above the table, there's a search bar with the text 'Enter text to search all visible columns...'. Below the table, there's a pagination bar showing 'Page 1 of 1 (1 items)', a page size dropdown set to '5', and a link icon.

Event List

Linked attachments are now included in the Event List report.

Registers

Ten new icons added for Register Types.



TriLine GRC V3.1.0 — New Features

Reports

Completed Tasks

The current limitation on the 'To' date (maximum today's date) has been removed to allow for reports to include tasks already completed where the Due Date is in the future.

The screenshot shows the 'Settings' dialog for the 'Completed Tasks' report. The dialog is titled 'Settings' and has a close button (X) in the top right corner. It features a sidebar on the left with a menu icon and a search icon. The main content area includes the following fields and options:

- Select Report:** A dropdown menu with 'Completed Tasks' selected.
- Group By:** A dropdown menu with 'Group By' selected.
- Applied Filters & Options:** A large empty text area for applying filters and options.
- Report Title:** A text input field with the placeholder text 'Enter your own Report Title (Optional)'.
- Filters & Options:** A section containing:
 - Date Range from:** A dropdown menu with '23/09/2019' selected.
 - To:** A dropdown menu with '31/12/2019' selected.
 - Business Unit:** A dropdown menu with 'Business Unit' selected.
 - Select by date completed:** A checkbox that is currently unchecked.

TriLine GRC V3.1.0 — New Features

Maintenance

An Audit Trail menu item has been added to the Maintenance menu for each module. This will allow a Module Administrator to view the Audit Trail records for that module (previously only available to an Administrator).

Compliance

Risk

KRI

Events

Registers

Contracts

Control Inventory

Work with Compliance records

Manage Templates

Unresolved Obligation Updates

Reports

Compliance Process

Process Controls

Task Due Date Changes

Charts

Outcomes

Risk Rating

Risk Rating Map

AdHoc Queries

Compliance Process

Process Controls

Process Control History

References

Interactive Dashboards

View Dashboards

Create a new Dashboard

Statistics

Compliance Statistics

Process Control Task Statistics

Maintenance

Categories

Custom Fields

New Record Help

References

Export/Import Compliance Process

Export/Import References

Load Compliance Data

Audit Trail

Audit Trail - Compliance

Reference: User: Date:

Page 1 of 11 (159 items) < 1 2 3 4 5 6 7 ... 9 10 11 > Page size: 15

Enter text to search all visible columns ...

Drag a column header here to group by that column

Type	Reference	User Name	Date/Time	Details
Compliance	COM0034	Alison Pencil	23/09/2019 4:00 PM	Link to Document FRM003 was added
Compliance	COM0026	Alison Pencil	17/09/2019 3:13 PM	Compliance Process Template created
Compliance	COM0026	Alison Pencil	17/09/2019 3:01 PM	Reference deleted: APRA - Prudential Standards : APS 210 - Liquidity

TriLine GRC V3.1.0 — New Features

Triage PRO




Typically, notifications (normally via email) from regulators, accounting firms and others, end up in the email inbox of one or two people within your organisation. There is no corporate view of the information received. Your organisation is reliant on the recipient to view and process or disseminate the notification. When that person leaves the notifications are potentially lost or at best, hard to find. Searching through the notifications in your email client is cumbersome.

Enter Triage PRO.

Triage PRO is a new, optional module that will capture and process emails from any number of sources. The emails will be deposited in a central repository within TriLine GRC and they can be easily viewed by the appropriate people in the organisation.

You can define any number of 'rules' with key words/phrases. If the email matches the criteria the rule is applied. It can be categorised based on the rule. Any number of people can be advised that the email has arrived. A task can be generated to review and action (if required) the content of the email. Any attachments included in the email will be available for viewing.

Edit Triage Rule

 DETAILS SECURITY

Rule Name: Fair Work Act

Description: Employment Related

From:

Search Words: Fair Work X WHS X OHS X

Does Not Apply ☐

Initial Status: Work In Progress

Default Category: APRA

Default Owner: Head of People and Culture

Prefix: EMP

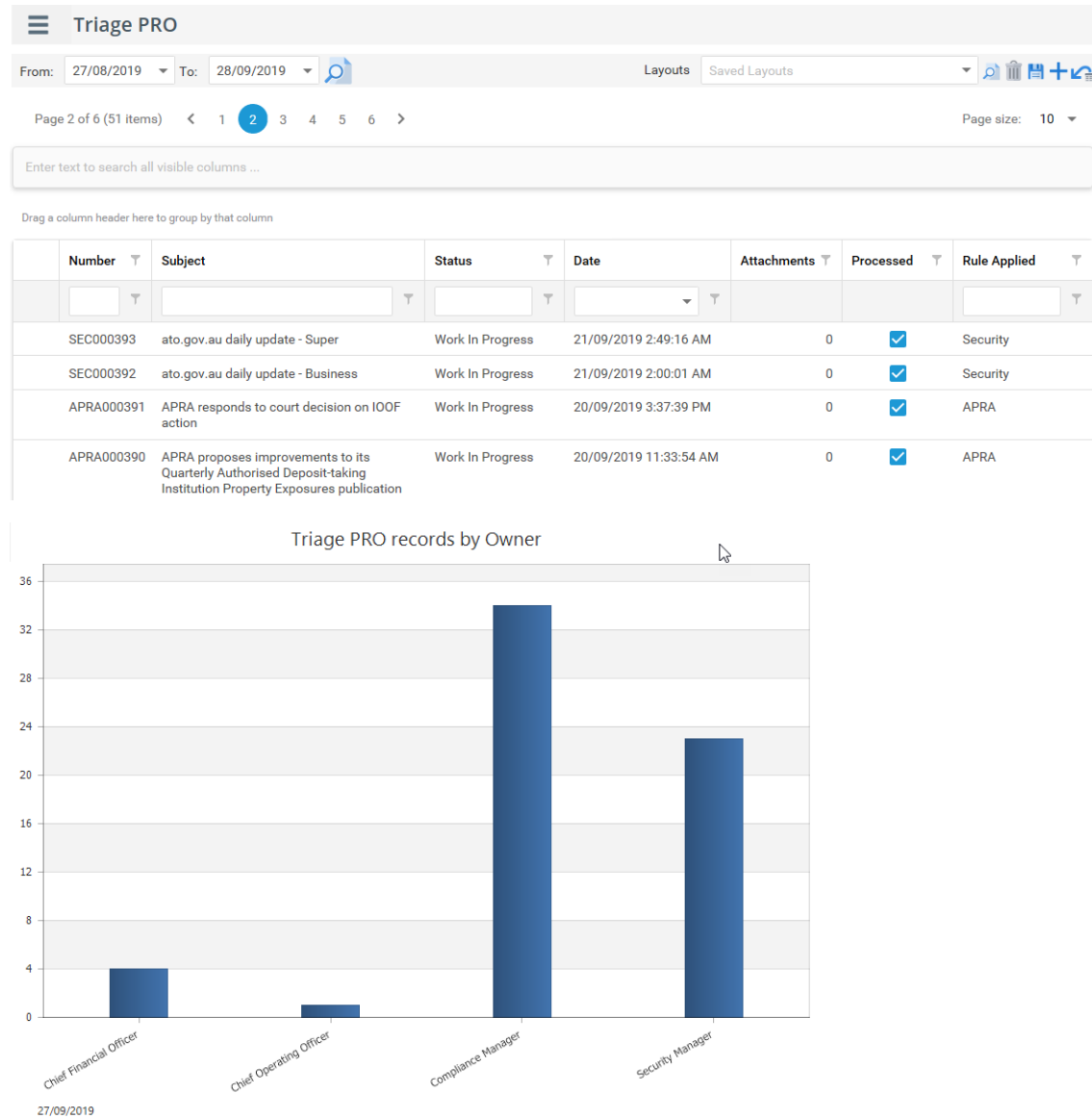
Notify: Head of People and Culture Compliance Manager [Click here to select Notify](#)

Create Task: Head of People and Culture

Active: ☒

TriLine GRC V3.1.0 — New Features

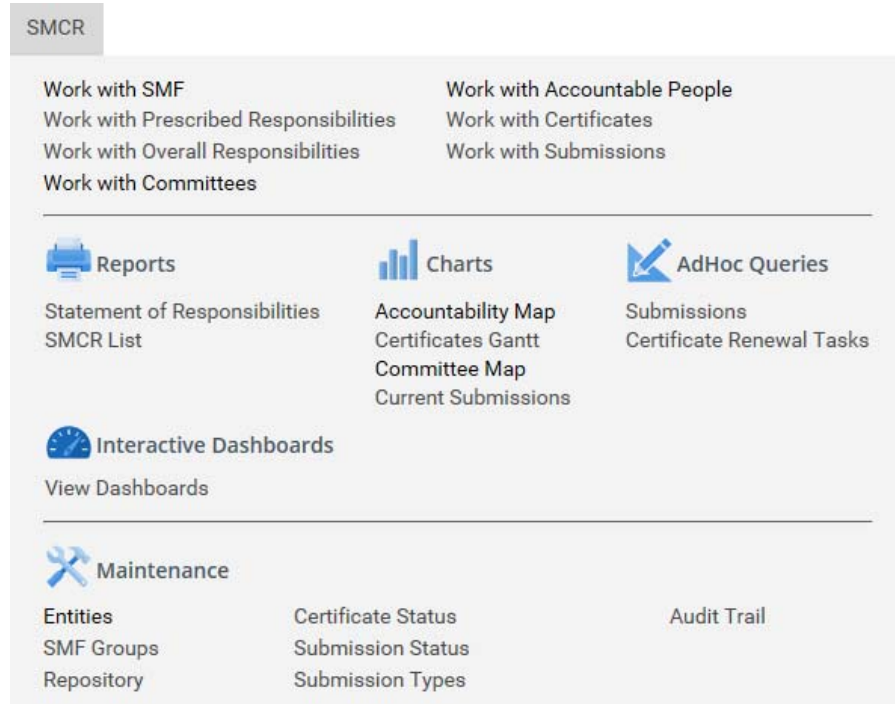
Using TriLine GRC's powerful search functions it is a simple task to find specific items.



TriLine GRC V3.1.0 — New Features

SMCR

The TriLine GRC SMCR module provides the management tools required for the Senior Managers and Certification Regime.

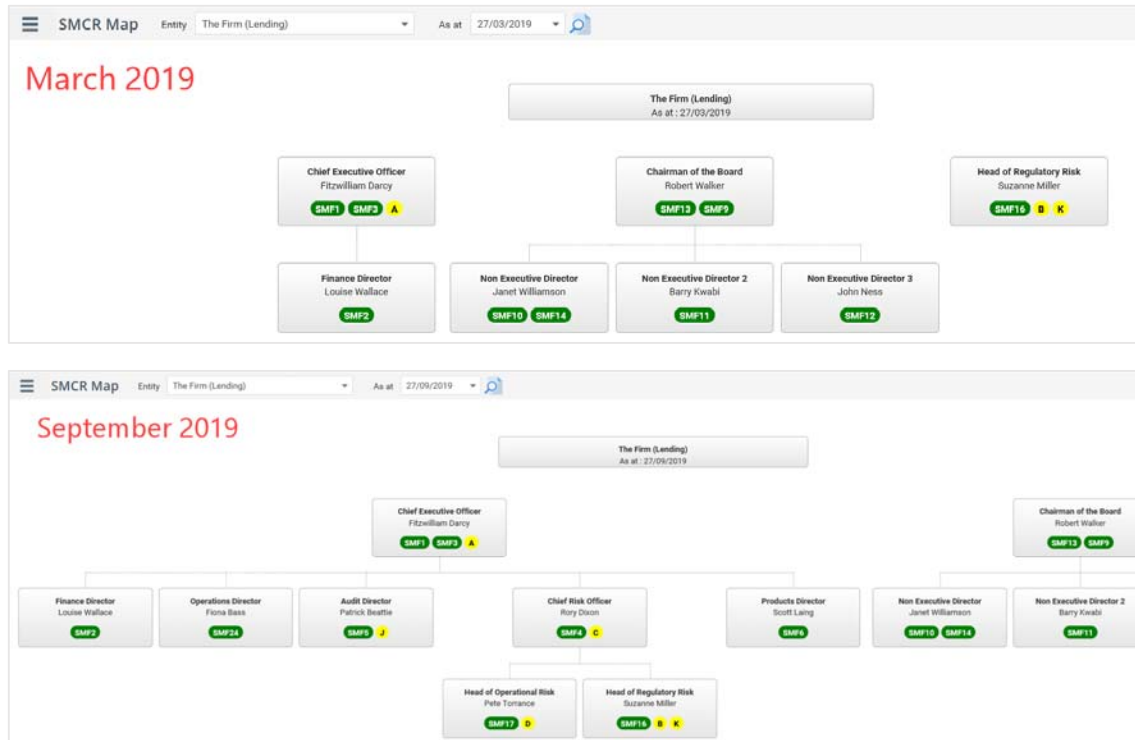


The features include:

- Multiple legal entities
- A map view of the Accountability within an entity
- Current and previous incumbents allocated to Functions and Responsibilities
- A map view of the committee structure within an entity
- Display a point-in-time view for both accountability and committee membership
- Current and previous committee members
- Record submissions to the regulator
- Manage certificates issued to staff
- Generate tasks to streamline the re-issue of certificates
- Fully integrated with other modules within TriLine GRC to provide not only what you need for reporting and audit, but also show how you are managing the requirements.

TriLine GRC V3.1.0 — New Features

Point-in-time view



TriLine GRC V3.1.0 — New Features

Functions and Responsibilities

Record the necessary information and links.

Senior Management Function

SMF16

Compliance Oversight

DETAILS

NOTES

ALLOCATED TO

LINKS

HISTORY

Entity

The Firm (Lending)

Code

SMF16

Title

Compliance Oversight

Is Applicable

☒

Group

Executive Team (Lending)

Tags

SMCR SYSC

Senior Management Function

SMF16

Compliance Oversight

DETAILS

NOTES

ALLOCATED TO

LINKS

HISTORY

Page 1 of 1 (1 items)

1

Page size: 5

Enter text to search all visible columns ...

Title	Name	From	To
Head of Regulatory Risk	Suzanne Miller	11/03/2019	

Page 1 of 1 (1 items)

1

Page size: 5

Senior Management Function

SMF16

Compliance Oversight

DETAILS

NOTES

ALLOCATED TO

LINKS

HISTORY

COMPLIANCE

RISK

KEY METRICS

EVENT

REGISTERS

CONTRACT

CONTRACT WITH

CONTROLS

DOCUMENTS

TRIAGE PRO

Page 1 of 1 (4 items)

1

Page size: 5

Enter text to search all visible columns ...

Number	Title	Status
COM 0060	SYSC 02 - Senior Manager Arrangements	Active
COM 0140	SYSC 10 - Conflicts of Interest	Active
COM 0190	SYSC 18 - Whistleblowing	Active
COM 0220	SYSC 23 - Senior Managers and Certification Regime	Active

Page 1 of 1 (4 items)

1

Page size: 5

TriLine GRC V3.1.0 — New Features

Committees

For each committee you can:

- record the details of the committee
- current and previous members
- upload documents (e.g. minutes of meeting).

Committee

Executive Committee

DETAILS

MEMBERS

DOCUMENTS

HISTORY

Entity

The Firm (Lending)

Name

Executive Committee

Reports To

Board

Description

TriLine GRC Default

2 (10pt)

B **I** **S**

The Chief Executive Officer and the Executive Committee are responsible for managing and overseeing all aspects of the Firm's Functions in line with role profiles and terms of reference respectively.

DESIGN

HTML

PREVIEW

Committee

Executive Committee

DETAILS

MEMBERS

DOCUMENTS

HISTORY

Enter text to search all visible columns ...

	Name	Title	Chair	Member	From	To
	<input type="text"/>	<input type="text"/>				
	Patrick Beattie	Audit Director	<input type="checkbox"/>	<input checked="" type="checkbox"/>	18/07/2019	
	Fitzwilliam Darcy	Chief Executive Officer	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	18/07/2019	
	Rory Dixon	Chief Risk Officer	<input type="checkbox"/>	<input checked="" type="checkbox"/>	18/07/2019	
	Louise Wallace	Finance Director	<input type="checkbox"/>	<input checked="" type="checkbox"/>	18/07/2019	
	Fiona Bass	Operations Director	<input type="checkbox"/>	<input checked="" type="checkbox"/>	18/07/2019	

Committee

Executive Committee

DETAILS

MEMBERS

DOCUMENTS

HISTORY

Drop file(s) here or click Browse to select

Browse...

Page 1 of 1 (4 items)

< 1 >

Page size: 10

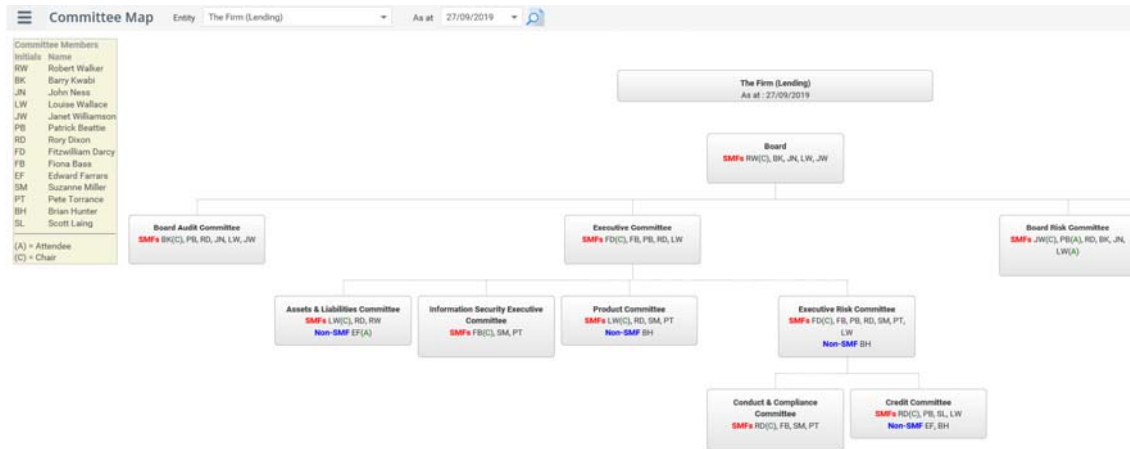
Enter text to search all visible columns ...

Drag a column header here to group by that column

	File	Attached By	Date
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Exco TOR 2019.docx	Grahame Walker	05/08/2019
	Exco July 2019.docx	Grahame Walker	05/08/2019

TriLine GRC V3.1.0 — New Features

The committee map includes all members and highlights those with an SMF allocation.



TriLine GRC V3.1.0 — New Features

Certificates

Certificates are issued to individuals within the organisation. Some of the features include:

- set the start and end dates of the certificate validity
- define the rationale for the certificate being issued
- optionally, generate a task to renew the certificate
- optionally, send a notification email to the certificate holder when the certificate is issued, renewed or terminated early.

Certificate ✕

Scott Laing (Products Director)

Entity: The Firm (Lending)

Status: Current

Certificate: Product Director

Details

From: 29/07/2019 To: 28/07/2020

The person ... ☒ has obtained a qualification ☐ has undergone, or is undergoing, training


☒ possesses a level of competence ☒ has the personal characteristics

Create Renewal Task ☒

First Reminder: 30

Second Reminder: 0

Actioned By: Head of Operational Risk

☐ Send email notification 

The certificate Gantt chart shows current certificates and the renewal period.

